



National Information Assurance Partnership

Common Criteria Evaluation and Validation Scheme

CCEVS Policy Letter #5

13 September 2002

SUBJECT: Evaluation TOEs at Evaluated Assurance Levels (EALs) Above 4

PURPOSE: Provide clarification on the Common Criteria Evaluation and Validation Scheme (CCEVS) approach for approved Common Criteria Testing Laboratories (CCTLs) who have Sponsors desiring evaluation of a TOE at an assurance level greater than EAL4 or a TOE at or below EAL4 with individual components that have been augmented with requirements above EAL4.

BACKGROUND: Along with a number of inquiries from potential sponsors of evaluations at EALs above 4, protection profile developers both within the Federal government and industry groups have developed and validated protection profiles that contain augmentation of individual assurance components above EAL4. The NVLAP accreditation program currently has six test methods based on the Common Evaluation Methodology (CEM) (APE, ASE, EAL1, EAL2, EAL3, and EAL4). The development of methodology for EALs above 4 are in progress but not expected to be fully available for some time. The guidance for International Common Criteria members for evaluations above EAL4 is for member nations to use their own national methodologies. The extension of NVLAP test methods above EAL4 will not occur until international methodology is developed and distributed to the Common Criteria member nations.

POLICY: Although NVLAP test methods do not currently exist for EALs 5-7, the CCEVS will allow CCTLs, who currently have all 6 NVLAP test methods, to conduct evaluations at these levels if the following procedures are applied:

1. All evaluations above EAL4 or evaluations that contain individual component augmentation above EAL4 must be coordinated with the CCEVS prior to the CCTL signing a contract with a sponsor to perform this evaluation in order to preclude potential problems and misunderstanding that could lead to contractual issues for the CCTL. This coordination is necessary since CCEVS concurrence on the proposed CCTL approach and methodology to be used for the evaluation will be required for the higher EAL evaluations.
2. All evaluations above EAL4 or evaluations that contain individual component augmentation above EAL4 will likely have increased government involvement that will potentially impact the CCTL proposed schedule and deliverables.

The determination for the level of government involvement will be determined by CCEVS based upon factors such as the technology and its potential use within the Federal government (i.e., Civil, DoD, National Security Community, PDD-63 Critical Infrastructures). At the discretion of the government, there are 3 possible courses of action for these evaluations: 1) the CCTL will conduct all evaluation activities; 2) the government will augment the CCTL team with seasoned evaluators and together they will conduct all evaluation activities; or 3) the government will independently conduct selected evaluation activities providing results of the activities to the CCTL for incorporation into evaluation technical reports and evaluation records. In all cases the CCEVS will provide validation services for the CCTL and government evaluation activities. For those evaluation activities selected for independent government involvement, a firm time commitment will be provided to the CCTL and sponsor (i.e., for this activity the government team will complete its actions within 90 days).

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